

FORM PTO-1390 (Modified)
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

KOII 948

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5)

09/530200

INTERNATIONAL APPLICATION NO.
PCT/JP99/04726

INTERNATIONAL FILING DATE
31 August 1999

PRIORITY DATE CLAIMED
31 August 1998

TITLE OF INVENTION
NATURAL LANGUAGE PROCESSING APPARATUS AND NATURAL LANGUAGE PROCESSING METHOD

APPLICANT(S) FOR DO/EO/US
ASANO, Yasuharu; HIROE, Atsuo; SHIMAKAWA, Masato, KAGAMI, Tetsuya and KOBAYASHI, Erika

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)). **w/Verification of Translation.**
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). **(unsigned)**
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98. **w/Form PTO 1449 and cited prior art.**
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

- a.) **Twenty-one (21) sheets of formal drawings;**
- b.) **Front Page of published application No. WO00/13102 as published on March 9, 2000; and**
- c.) **Forms PCT/IB/301, 304 and 308.**

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.55) 09/53020		INTERNATIONAL APPLICATION NO. PCT/JP99/04726		ATTORNEY'S DOCKET NUMBER KOIK-P9948					
21. The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) : <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$970.00 <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$840.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$690.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$670.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$96.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY <table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; text-align: right;">\$840.00</td> <td style="width:50%;"></td> </tr> <tr> <td style="text-align: right;">\$0.00</td> <td></td> </tr> </table>		\$840.00		\$0.00	
\$840.00									
\$0.00									
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				\$0.00					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE						
Total claims	33 - 20 =	13	x \$18.00	\$234.00					
Independent claims	6 - 3 =	3	x \$78.00	\$234.00					
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>				\$0.00					
TOTAL OF ABOVE CALCULATIONS =				\$1,308.00					
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). <input type="checkbox"/>				\$0.00					
SUBTOTAL =				\$1,308.00					
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				\$0.00					
TOTAL NATIONAL FEE =				\$1,308.00					
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				\$0.00					
TOTAL FEES ENCLOSED =				\$1,308.00					
				Amount to be refunded	\$				
				charged	\$				

- ☒ A check in the amount of **\$1,308.00** to cover the above fees is enclosed.
- ☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. _____ A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Charles P. Sammut, Esq.
LIMBACH & LIMBACH L.L.P
 2001 Ferry Building
 San Francisco, CA 94109
 (415) 433-4150


 SIGNATURE

Mayumi Maeda

NAME

40,075

REGISTRATION NUMBER

April 25, 2000

DATE

09/530200

410 Rec'd PCT/PTO 25 APR 2000

PATENT

PATENT COOPERATION TREATY
UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

In re Nat'l Phase Application of:)	
)	
YASUHARU ASANO ET AL.)	
)	
Based Upon International)	CERTIFICATION
Application No. PCT/JP99/04726)	UNDER
Int'l Filing Date: August 31, 1999)	<u>37 CFR \$1.10</u>
)	
Serial No. Not Assigned)	
)	
Filed: Herewith)	
)	
For: NATURAL LANGAUGE PROCESSING)	
APPARATUS AND NATURAL LANGUAGE)	
PROCESSING METHOD)	
)	

Attn: Designated/Elected Office (DO/EO/US)
Assistant Commissioner for Patents
Box PCT
Washington, D.C. 20231

Dear Sir:

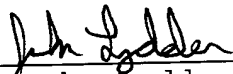
I hereby certify that this Application for entering the national phase of the above-identified International Application and the documents referred to as enclosed herein are being deposited with the United States Postal Service on this date, **April 25, 2000**, in an envelope bearing "Express Mail Post Office to Addressee" Mailing Label Number **EL387308351US** addressed to: Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231-0001, Attention U.S. Designated/Elected Office (DO/EO/US).

Enclosed are:

1. Transmittal Letter to the U.S. Designated/Elected Office, in duplicate;
2. Verified translation of International Application No. PCT/JP99/04726 as filed August 31, 1999, including PCT Request-Form PCT/RO/101, Specification, Claims and Abstract;
3. Combined Declaration/Power of Attorney/Claim of Priority; (unsigned)
4. Twenty-one (21) Sheets of Formal Drawings comprising Figures 1 through 22D, inclusive;

5. Copies of Forms PCT/IB/301, 304, 308;
6. International Search Report;
7. Front cover page of International Application published on March 9, 2000 as Publication No. WO00/13102;
8. Information Disclosure Statement with Form 1449, Copy of International Search Report in English translation and Cited Prior Art References;
9. Check in the amount of \$1,308.00; and
10. Acknowledgement Postcard.

Dated: April 25 , 2000



John Lyddan

LIMBACH & LIMBACH L.L.P.
2001 Ferry Building
San Francisco, California 94111
Telephone: (415) 433-4150

Attorney Docket No. KOIK-P9948

21/PRTS

09/530200

526 Rec'd PCT/PTO 25 APR 2000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re International Application of

International Serial No. PCT/JP99/04726
International filing date: August 31, 1999
For: Natural Language Processing Apparatus and Natural Language
Processing Method

VERIFICATION OF TRANSLATION

Honorable Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

Eiichi Tamura, a member of A.KOIKE & CO., of 11-Mori
Bldg., 6-4, Toranomom 2-chome, Minato-ku, Tokyo 105-0001 Japan,
declares:

(1) that he knows well both the Japanese and English
languages;

(2) that he translated the above-identified International
Application from Japanese to English;

(3) that the attached English translation is a true and
correct translation of the above-identified International
application to the best of his knowledge and belief; and

(4) that all statements made of his own knowledge are
true and that all statements made on information and belief are
believed to be true, and further that these statements are made
with the knowledge that willful false statements and the like are
punishable by fine or imprisonment, or both, under 18USC 1001,
and that such false statements may jeopardize the validity of the
application or any patent issuing thereon.

March 28, 2000

Date



Eiichi Tamura